

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**IN RE PATENT APPLICATION OF:** Phillips et al      **OUR FILE NO:** 78384 (18-32 US DIV1)  
**SERIAL NUMBER:** 10/706,142      **GROUP:** 1732  
**FILED:** November 12, 2003      **EXAMINER:** M. Vargot  
**TITLE:** METHODS FOR FORMING SECURITY ARTICLES HAVING DIFFRACTIVE SURFACES AND COLOR SHIFTING BACKGROUNDS  
**CONFIRMATION NO:** 6069

**Information Disclosure Statement #4**

**EFILED**

**Mail Stop Amendment**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is an Information Disclosure Statement (Form PTO-1449A) in the above-captioned application with references. In accordance with current USPTO procedures published 05 AUG 2003, in 1276 OG 55, copies of the U.S. patent documents cited in the form 1449A are not attached.

**Certification**

\_\_\_\_\_  
This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.

X

\_\_\_\_\_  
This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant since filing of an RCE in the above-identified application.

\_\_\_\_\_  
This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. § 1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. § 1.97(c) and § 1.17(p) is submitted herewith.

\_\_\_\_\_  
This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to § 1.17(i) (1) are submitted herewith.

A certification under 37 C.F.R §1.97 is submitted herewith separately from this paper.

It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,

/Charles Edmund Wands/  
Registration No: 25,649

December 19, 2006  
Date:

Customer No. 27975

<b>Form PTO 1449A</b>  <b>U.S. Department of Commerce</b> <b>Patent and Trademark Office</b>  Information Disclosure Statement by Applicant		<b>ATTY. DOCKET NUMBER:</b>  <b>78384 (18-32 US DIV1)</b>	<b>SERIAL NUMBER:</b>  <b>10/706,142</b>
		<b>APPLICANT:</b>  <b>PHILLIPS ET AL</b>	
		<b>FILING DATE:</b>  <b>NOVEMBER 12, 2003</b>	<b>GROUP:</b>  <b>1732</b>

**U.S. Patent Documents**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING APPN
	4,099,838	Jul. 11, 1978	Cook et al.	359	537	
	5,630,877	May 20, 1997	Kashiwagi et al	118	623	
	3,853,676	Dec. 10, 1974	Graves	161	5	
	5,223,360	Jun. 29, 1993	Prengel et al.	430	39	
	3,676,273	Nov. 7, 1972	Graves	428	328	
	4,867,793	Sep. 19, 1989	Franz et al.	106	415	
	2004/009309	Jan. 15, 2004	Raksha et al.	427	598	

**Foreign Patent Documents**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	WO 01/53113 A	Jul. 26, 2001	WIPO	B42D	15/10		
	1 498 545 A	Jan. 19, 2005	Europe	D21H	21/42		
	2004/024836	Mar. 25, 2004	WIPO	C09D	5/36		
	4212290	May 27, 1993	Germany	B44F	1/12		

**Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)**

EXAMINER	DATE CONSIDERED	
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>		